



# TRANSMITTAL FORM

Application Serial Number	10/029,406
Filing Date	December 19, 2001
First Named Inventor	Dai et al.
Group Art Unit	1651
Examiner Name	Not Yet Assigned
Attorney Docket No.	INL-053
Patent No.	Not applicable
Issue Date	Not applicable

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form  <input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]  <input type="checkbox"/> Petition for Extension of Time  <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations (A1-A39, B1-B13 and C1-C139)  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)  <input type="checkbox"/> Formal Drawing(s)  <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal  <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application  <input type="checkbox"/> Small Entity Statement  <input type="checkbox"/> CD(s) for large table or computer program  <input type="checkbox"/> Amendment After Allowance  <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences  <input type="checkbox"/> Appeal Brief (in triplicate)  <input type="checkbox"/> Status Inquiry  <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8  <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8  <input type="checkbox"/> Additional Enclosure(s) (please identify below)
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PATENT  
Attorney Docket No. INL-053  
(4643/95)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Dai et al.  
SERIAL NO.: 10/029,406 GROUP NO.: 1651  
FILING DATE: December 19, 2001 EXAMINER: Not Yet Assigned  
TITLE: PROTEIN S FUNCTIONAL ASSAY

Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or
- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**

- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

#### STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

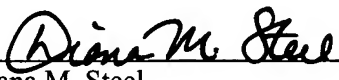
- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

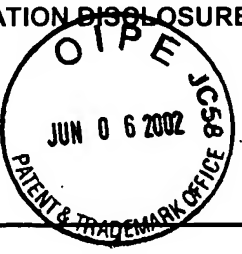
Respectfully submitted,

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<b>FORM PTO - 1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b>				<b>ATTORNEY DOCKET NO.:</b> INL-053 <b>APPLICANTS:</b> Dai et al. <b>SERIAL NO.:</b> 10/029,406 <b>FILING DATE:</b> December 19, 2001 <b>GROUP:</b> 1651			
 <b>U.S. PATENT DOCUMENTS</b>							
EXAM. INIT.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
	A1	4,755,461	07/05/88	Lawson et al.	435	13	04/17/86
	A2	5,001,069	03/19/91	Bartl et al.	436	86	10/04/88
	A3	5,051,357	09/24/91	Hassouna	435	13	08/21/89
	A4	5,059,525	10/22/91	Bartl et al.	435	13	05/29/90
	A5	5,147,805	09/15/92	Preda et al.	436	86	06/29/90
	A6	5,169,786	12/08/92	Carroll et al.	436	69	12/19/89
	A7	5,187,067	02/16/93	Koike et al.	435	7.9	03/14/91
	A8	5,200,322	04/06/93	Matsumoto	435	13	02/28/91
	A9	5,223,427	06/29/93	Edgington et al.	435	240.27	03/09/88
	A10	5,254,350	10/19/93	Barrow et al.	424	570	07/22/91
	A11	5,270,451	12/14/93	Hawkins et al.	530	381	08/06/92
	A12	5,308,756	05/03/94	van de Waart et al.	435	13	11/20/91
	A13	5,314,695	05/24/94	Brown	424	450	10/29/91
	A14	5,358,853	10/25/94	Butler et al.	435	13	08/03/92
	A15	5,374,617	12/20/94	Morrissey et al.	514	8	05/13/92
	A16	5,391,380	02/21/95	Barrow et al.	424	570	05/14/93
	A17	5,418,141	05/23/95	Zweig et al.	435	13	05/06/94
	A18	5,426,031	06/20/95	Hawkins et al.	435	13	05/25/93
	A19	5,439,802	08/08/95	Rosén	435	13	07/04/90
	A20	5,443,960	08/22/95	Dahlbäck	435	13	05/13/92
	A21	5,472,850	12/05/95	Morrissey	435	13	04/10/91
	A22	5,502,651	03/26/96	Jackson et al.	364	509	05/02/94
	A23	5,504,064	04/02/96	Morrissey et al.	514	8	02/19/93
	A24	5,504,067	04/02/96	Morrissey et al.	514	8	10/12/94
	A25	5,508,170	04/16/96	Butler et al.	435	13	06/03/94
	A26	5,525,478	06/11/96	Matschiner	435	13	06/07/95
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			


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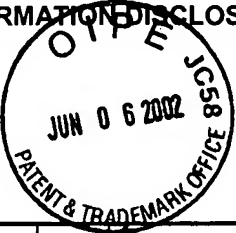
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	A27	5,643,739	07/01/97	Varadi et al.	435	13	05/01/95
	A28	5,705,395	01/06/98	Griffin et al.	436	69	11/14/94
	A29	5,716,795	02/10/98	Matschiner	435	13	01/03/96
	A30	5,726,028	03/10/98	Kraus	435	13	08/04/95
	A31	5,753,510	05/19/98	Kraus	436	16	11/07/95
	A32	5,766,869	06/16/98	Arkel et al.	435	13	11/27/96
	A33	5,780,255	07/14/98	Preda	435	23	06/09/95
	A34	5,834,223	11/10/98	Griffin et al.	435	13	12/18/97
	A35	5,858,724	01/12/99	Novy, Jr. et al.	435	69.6	07/16/96
	A36	5,874,256	02/23/99	Bertina et al.	435	69.6	02/21/97
	A37	6,083,757	07/04/00	Griffin et al.	436	69	11/10/98
	A38	6,100,072	08/08/00	Brucato et al.	435	69.7	04/22/98
	A39	6,203,816B1	03/20/01	Brown	424	450	04/24/95

FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	286,323	12/15/93	EP			03/31/88	No	Yes
	B2	434,377	08/23/95	EP			12/18/90	No	Yes
	B3	88/07543	10/06/88	PCT			03/29/88	No	Yes
	B4	90/11368	10/04/90	PCT			03/19/90	No	Yes
	B5	91/01382	02/07/91	PCT			07/04/90	No	Yes
	B6	91/01383	02/07/91	PCT			07/5/90	No	Yes
	B7	91/02812	03/07/91	PCT			08/06/90	No	Yes
	B8	92/08479	05/29/92	PCT			11/04/91	No	Yes
	B9	93/07492	04/15/93	PCT			09/25/92	No	Yes
	B10	93/10261	05/27/93	PCT			05/13/92	No	Yes
	B11	93/13211	07/08/93	PCT			12/29/92	No	Yes
	B12	93/23074	11/25/93	PCT			05/12/93	No	Yes

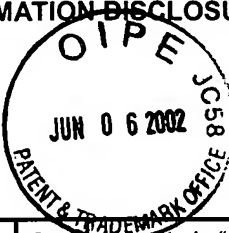
<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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INFORMATION DISCLOSURE STATEMENT				APPLICANTS: Dai et al.				
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				FILING DATE: December 19, 2001				
				GROUP: 1651				
	B13	95/21938	08/17/95	PCT		02/14/95	No	Yes
OTHER ART, JOURNAL ARTICLES, ETC.								
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)							
	C1	Almasy et al. "Linkage of the Factor V Gene with Protein C and Protein S Levels Not Due to the Factor V Leiden Mutation", <u>Washington</u> , p. 387, (1999).						
	C2	Amer et al. "Impairment of the Protein C Anticoagulant Pathway in a Patient with Systemic Lupus Erythematosus, Anticardiolipin Antibodies and Thrombosis," <u>Thrombosis Research</u> , 57:247-258 (1990).						
	C3	Amiral et al. "New Direct Assay of Free Protein S Antigen Using Two Distinct Monoclonal Antibodies Specific for the Free Form," <u>Blood Coag. and Fibrin.</u> , 5:179-186 (1994).						
	C4	Andrews et al. "Conservation of Tissue Factor Primary Sequence Among Three Mammalian Species," <u>Gene</u> , 98:265-269 (1991).						
	C5	Bader et al. "Multicentric Evaluation of a New PT Reagent Based on Recombinant Human Tissue Factor and Synthetic Phospholipids," <u>Thromb. Haemost.</u> , 71(3):292-299 (1994).						
	C6	Baele et al. "Comparison of a Recombinant Thromboplastin with Thrombotest™ for Oral Anticoagulant Control," <u>Haemost.</u> , 26:11-15 (1996).						
	C7	Bauer. "Hypercoaguability-A New Cofactor in the Protein C Anticoagulant Pathway," <u>New England Journal of Medicine</u> , 330:566-567 (1994).						
	C8	Beauchamp et al. "High Prevalence of a Mutation in the Factor V Gene Within the U.K. Population: Relationship to Activated Protein C Resistance and Familial Thrombosis," <u>British J. of Haemost.</u> , 88:219-222 (1994).						
	C9	Bertina et al. "Mutation in Blood Coagulation Factor V Associated with Resistance to Activated Protein C," <u>Nature</u> , 369:64-67 (1994).						
	C10	Boyer-Neumann et al. "Comparison of Functional Assays for Protein S: European Collaborative Study of Patients with Congenital and Acquired Deficiency," <u>Thomb. and Haemost.</u> , 70(6):946-950 (1993).						
	C11	Blangero et al. "Normal Activated Protein C Response has a Large Genetic Component," <u>Florenzia</u> , PS-920, p. 226, (6/9/97).						
	C12	Blangero et al. "Genetic Factors Influence Quantitative Variation in Tissue Factor Pathway Inhibitor," <u>Florenzia</u> , PS-1666, p. 409, (1997).						
	C13	Blombäck et al. "Chromogenic Peptide Substrates in the Laboratory Diagnosis of Clotting Disorders," <u>Haemostasis and Thrombosis</u> , Bloom and Thomas (eds.), 2 <sup>nd</sup> ed, 967-981 (1987).						
	C14	Cattaneo. "Hyperhomocysteinemia, Atherosclerosis and Thrombosis," <u>Thromb. Haemost.</u> , 81:165-176 (1999).						
EXAMINER					DATE CONSIDERED			


<b>FORM PTO - 1449</b>  <b>INFORMATION DISCLOSURE STATEMENT</b>		<b>ATTORNEY DOCKET NO.: INL-053</b>  <b>APPLICANTS:</b> Dai et al.  <b>SERIAL NO.:</b> 10/029,406  <b>FILING DATE:</b> December 19, 2001  <b>GROUP:</b> 1651
		
C15	Chromogenix, Coatest APC Resistance Kit instructions, May 1993.	
C16	Chromogenix, Coatest APC Resistance Kit Brochure, June 1993.	
C17	Comp. "Laboratory Evaluation of Protein S Status," <u>Seminars in Thromb. and Haemost.</u> , 16(2):177-181 (1990).	
C18	Cornillon et al. "Rat Coagulation Factor V Purification and Production of the Monospecific Antiserum," <u>Comp. Biochem. Physiol.</u> , 83B, 2: 397-401 (1986).	
C19	Cripe et al. "Structure of the Gene for Human Coagulation Factor V," <u>Biochemistry</u> , 31: 3777-3785 (1992).	
C20	Dahlbäck et al. "Resistance to Activated Protein C, the FV:Q <sup>506</sup> Allele, and Venous Thrombosis," <u>Ann. Hematol.</u> , 72:166-176 (1996).	
C21	Dahlbäck. "New Molecular Insights into the Genetics of Thrombophilia. Resistance to Activated Protein C Caused by Arg <sup>506</sup> to Gln Mutation in Factor V as a Pathogenic Risk Factor for Venous Thrombosis," <u>Thromb. Haemost.</u> , 74(1):139-148 (1995).	
C22	Dahlbäck. "Factor V Gene Mutation Causing Inherited Resistance to Activated Protein C as a Basis for Venous Thromboembolism," <u>J. Intern. Med.</u> , 237:221-227 (1995).	
C23	Dahlbäck et al. "Inherited Resistance to Activated Protein C is Corrected by Anticoagulant Cofactor Activity Found to be a Property of Factor V," <u>Proc. Natl. Acad. Sci. (USA)</u> , 91:1396-1400 (1994).	
C24	Dahlbäck. "A New Model for Coagulation Factor V Suggesting a Unique Mechanism of Activation," <u>Scand. J. Clin. Lab. Invest.</u> , 48, Suppl.191:47-61 (1988).	
C25	Dahlbäck. "Factor VIII Defect Associated with Familial Thrombophilia," <u>Thrombosis &amp; Haemostasis</u> , 65, Abstract 39:658 (1991).	
C26	Dahlbäck et al. "Familial Thrombophilia Due to a Previously Unrecognized Mechanism Characterized by Poor Anticoagulant Response to Activated Protein C: Prediction of a Cofactor to Activated Protein C," <u>Proc. Natl. Acad. Sci. USA</u> , 90:1004-1008 (1993).	
C27	Dahlbäck. "Thrombophilia: The Discovery of Activated Protein C Resistance," <u>Advances in Genetics: Incorporating Molecular Genetic Medicine</u> , Academic Press, (Hall et al. eds.), 135-175 (1995).	
C28	Dahlbäck et al. "A Natural Anticoagulant Pathway: Proteins C, S, C4b-Binding Protein and Thrombomodulin," <u>Haemostasis and Thrombosis</u> (Bloom et al. eds.), 3 <sup>rd</sup> edition, Churchill Livingstone, 671-698 (1994).	
C29	Dahlbäck. "The Protein C Anticoagulant System: Inherited Defects as Basis for Venous Thrombosis," <u>Thrombosis Research</u> , 77:1-43 (1995).	
C30	D'Angelo. "7 Prothrombin Time Standardization: The Problem of the Control Plasma," <u>Eur. J. Clin. Chem. Clin. Biochem.</u> , 33(12):1019-1022 (1995).	
C31	Denson et al. "Validity of the INR System for Patients with Liver Impairment," <u>Thromb. Haemost.</u> , 73(1):162 (1995).	
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>


<b>FORM PTO – 1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b> 		<b>ATTORNEY DOCKET NO.:</b> INL-053  <b>APPLICANTS:</b> Dai et al.  <b>SERIAL NO.:</b> 10/029,406  <b>FILING DATE:</b> December 19, 2001  <b>GROUP:</b> 1651
	C32	DiScipio et al. "A Comparison of Human Prothrombin, Factor IX (Christmas Factor), Factor X (Stuart Factor), and Protein S," <u>Biochem.</u> , 16:698-704 (1977).
	C33	Duchemin et al. "A New Assay Based on Thrombin Generation Inhibition to Detect Both Protein C and Protein S Deficiencies in Plasma," <u>Thomb. and Haemost.</u> , 71(3):331-338 (1994).
	C34	Edson et al. "Laboratory Diagnosis of Inherited Protein S Deficiency," <u>Am. J. Clin. Pathol.</u> , 94(2):176-186 (1990).
	C35	Esmon. "The Roles of Protein C and Thrombomodulin in the Regulation of Blood Coagulation," <u>J. Biol. Chem.</u> , 264(9):4743-4746 (1989).
	C36	Esmon. "The Regulation of Natural Anticoagulant Pathways," <u>Science</u> , 235:1348-1352 (1987).
	C37	Esmon. "Protein C: Biochemistry, Physiology, and Clinical Implications," <u>Blood</u> , 62:1155-1158 (1983).
	C38	Faioni et al. "Another Protein S Functional Assay is Sensitive to Resistance to Activated Protein C," <u>Thomb. and Haemost.</u> , 72(4):648 (1994).
	C39	Faioni et al. "Resistance to Activated Protein C in Nine Thrombophilic Families: Interference in a Protein S Functional Assay," <u>Thromb. and Haemost.</u> , 70(6):1067-1071 (1993).
	C40	Falkon et al. "Tissue Factor Pathway Inhibitor and Anti-FXa Kinetic Profiles of a New Low-Molecular-Mass Heparin, Bemiparin, at Therapeutic Subcutaneous Doses," <u>Blood Coag. and Fibrin.</u> , 9:137-141 (1998).
	C41	Folsom et al. "Prospective Study of Hemostatic Factors and Incidence of Coronary Heart Disease," <u>Circulation</u> , 96(4):1102-1108 (1997).
	C42	Forastiero et al. "Evaluation of Recently Described Tests for Detection of the Lupus Anticoagulant," <u>Thromb. Haemost.</u> , 72(5):728-733 (1994).
	C43	Gari et al. "The Influence of Low Protein S Plasma Levels in Young Women, on the Definition of Normal Range," <u>Thromb. Res.</u> , 73(2):149-152 (1994).
	C44	Giddings et al. "Chapter 12: Laboratory Support in the Diagnosis of Coagulation Disorders," <u>Clinics in Haematology</u> , 14(2):571-595 (1985).
	C45	Griffin et al. "Anticoagulant Protein C Pathway Defective in Majority of Thrombophilic Patients," <u>Blood</u> , 82(7):1989-1993 (1993).
	C46	Griffin et al. "Activated Protein C Resistance: Molecular Mechanisms," <u>Thromb. Haemost.</u> , 74(1) 444-448 (1995).
	C47	Halbmayer et al. "The Prevalence of Poor Anticoagulant Response to Activated Protein C (APC Resistance) Among Patients Suffering from Stroke or Venous Thrombosis and Among Healthy Subjects," <u>Blood Coag. and Fibrin.</u> , 5:51-57 (1994).
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>




<b>FORM PTO – 1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTORNEY DOCKET NO.: INL-053 APPLICANTS: Dai et al. SERIAL NO.: 10/029,406 FILING DATE: December 19, 2001 GROUP: 1651
		
C48	Han et al. "A Simple Functional Protein S Assay Using PROTAC <sup>®</sup> ," <u>Clin. Lab. Haemat.</u> , 12:201-208 (1990).	
C49	Hemker et al. "Proteins Induced by Vitamin K Absence (PIVKAs) Effect of Coumarins on Circulating Clotting Factors," <u>Oral Anticoagulants</u> , Poller and Hirsch, eds., Arnold Press, London, 65-75 (1996).	
C50	Henkens et al. "Plasma Levels of Protein S, Protein C, and Factor X: Effects of Sex, Hormonal State and Age," <u>Thromb. Haemost.</u> , 74(5):1271-1275 (1995).	
C51	Hochuli et al. "Genetic Approach to Facilitate Purification of Recombinant Proteins with a Novel Metal Chelate Adsorbent," <u>Bio/Technology</u> , 1321-1325 (1988).	
C52	Kalafatis et al. "Role of the Membrane in the Inactivation of Factor Va by Activated Protein C," <u>J. Biol. Chem.</u> , 268(36):27246-27257 (1993).	
C53	Kalafatis et al. "Proteolytic Events That Regulate Factor V Activity in Whole Plasma from Normal and Activated Protein C (APC)-Resistant Individuals During Clotting: An Insight into the APC-Resistance Assay," <u>Blood</u> , 87(11): 4695-4707 (1996).	
C54	Kamiya et al. "Inherited Deficiency of Protein S in a Japanese Family with Recurrent Venous Thrombosis: A Study of Three Generations," <u>Blood</u> , 67 (2): 406-410 (1986).	
C55	Kamphuisen et al. "High Levels of Factor VIII Antigen are an Important Risk Factor of Deep-Vein Thrombosis," <u>Thrombosis – Acquired Risk Factors</u> , Abstract 1768, pg. 398a.	
C56	Kane et al. "Blood Coagulation Factors V and VIII: Structural and Functional Similarities and Their Relationship to Hemorrhagic and Thrombotic Disorders," <u>Blood</u> , 71(3):539-555 (1988).	
C57	Kapur et al. "Factor V Inhibitor in Thrombosis," <u>American Journal of Hematology</u> , 42: 384-388 (1993).	
C58	Katzmann. "Isolation of Functional Human Coagulation Factor V by Using a Hybridoma Antibody," <u>Proc. Natl. Acad. Sci. USA</u> , 78(1):162-166 (1981).	
C59	Kisiel. "Human Plasma Protein C: Isolation, Characterization and Mechanism of Activation by Alpha Thrombin," <u>J. Clin. Invest.</u> , 64:761-769 (1979).	
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